Urban Construction Initiative (UCI) Certification Program

Briefing to the Management Leadership Team (MLT)

Phil Pullen, P.E.
David Jarman, P.E.

October 14, 2010

City Manager Letter

City of Virginia Beach

August 18, 2009

Mr. Michael A. Estes, P.E., Director
Local Assistance Division
Virginia Department of Transportation
1401 East Broad Street
Richmond, Virginia 23219

Subject: Urban Construction Initiative Program

Dear Mr. Estes:

The City of Virginia Beach supports the development of Virginia Department of Transportation (VDOT's) proposed UCI certification program. We look forward to this certification program that will negate the need for VDOT oversight reviews during project development, but instead will create a process whereby the localities certify their compliance with specified processes.

We also look forward to this program having as much flexibility as possible to better allow the projects to be managed by the localities, while allowing VDOT to meet its oversight responsibilities.

Thank you and please do not hesitate to contact me if you need anything else.

Sincerely,

James K. Spore
City Manager, Executive

JKS/PDP/tdc

cc: David L. Hansen, Deputy City Manager
        Jason E. Cosby, P.E., Director of Public Works
        John E. Fowler, P.E., City Engineer, Public Works/Engineering
        Phillip D. Pullen, P.E., PW/Engineering
        David S. Jarman, P.E., PW/Engineering
        Heather M. Ham, P.E., PW/Engineering

What is UCI?

- **VDOT Program**

- UCI (Urban Construction Initiative) was originally called "First Cities"

- Code of Virginia Amended in 2003 to allow

- Program Benefits:
  - ➢ Expedite Implementation of Federal/State Funded Projects
  - ➢ Decrease Cost of Project Delivery
  - ➢ Improve Project Efficiencies

UCI Members

- **Virginia Beach**
- Richmond
- Hampton
- Charlottesville
- Bridgewater
- Harrisonburg
- Lynchburg
- Blacksburg
- Dumfries
- Colonial Heights
- Newport News
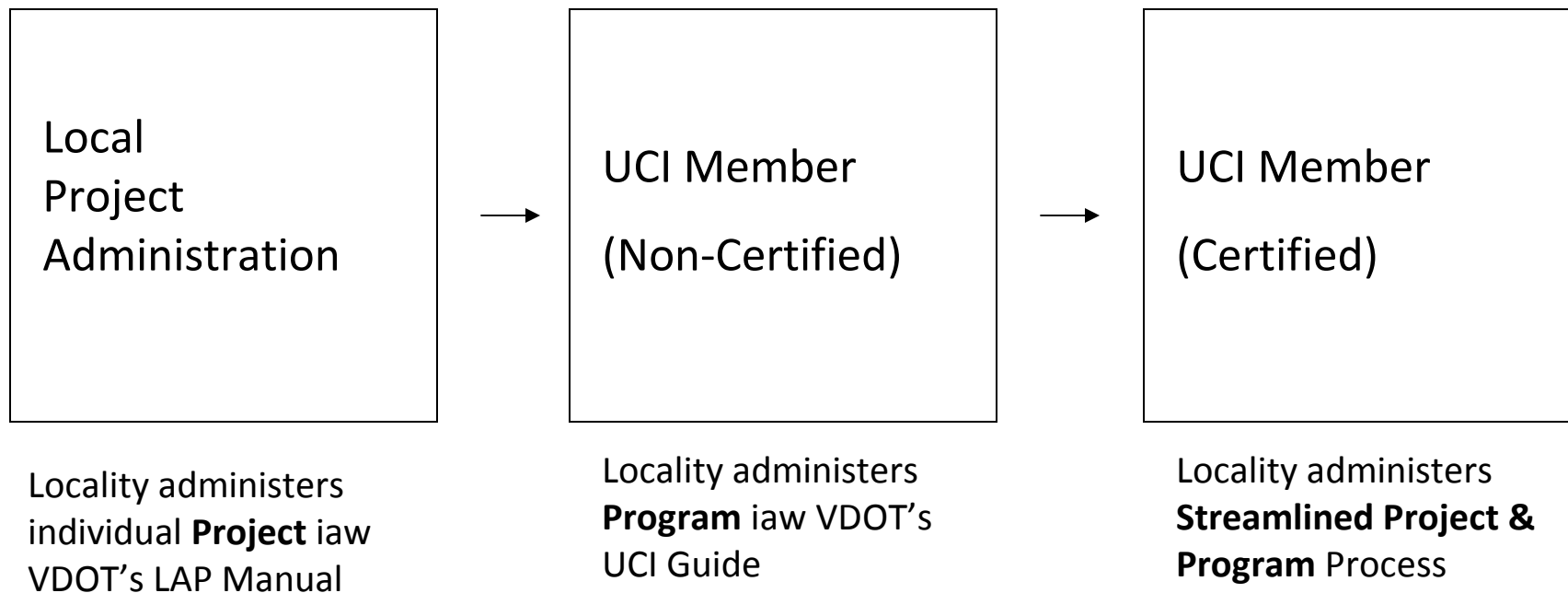- *Chesapeake, Leesburg and Purcellville* (Submitted Letter of Intent)

History

- **2003**: Code of Virginia Amended

- **2004**: City of Virginia Beach officially joined UCI (along with Richmond and Hampton)

→   (4) Urban Projects officially became UCI Projects (Witchduck 1, PA/Kempsville, Elbow Road and Indian River Road)

- **2007**: Other Fed/State funded projects (HSIP, CMAQ, RSTP) included in UCI Program

- **2008**: Development of UCI Certification Program began

- **2009**: UCI Certification Program approved by FHWA

What is UCI Certification?

- Opportunity for UCI Qualified Members to receive delegated authority from VDOT for project administration

- **Does Not take away any Project Development Requirements**

- Minimal VDOT oversight

- Applicable to State and Federally Funded Projects

- Modeled after FHWA/VDOT relationship outlined in their Joint Efficiencies Agreement

- Does not apply to projects on NHS; Projects designated as Federal Oversight; and projects identified by Commissioner as Full State Oversight

- Locality subject to project and program audit

What is UCI Certification (cont.)

Local Project Administration		UCI Member (Non-Certified)		UCI Member (Certified)
Locality administers individual **Project** iaw VDOT's LAP Manual	→	Locality administers **Program** iaw VDOT's UCI Guide	→	Locality administers **Streamlined Project & Program** Process

Program Management Requirements

- Fiscal Audit and Budget Systems
  - Federal Aid Payment Requirements
  - Project Documentation
  - Audit Requirements according to OMB Circular A-133 (CAFR)

- Civil Rights Program
  - DBE Program Plan
  - DBE Goals (Establishing and Attaining)
  - DBE Requirements in Contracts

- Internal QA/QC Processes
  - Management of External Consultants/Resources
  - Design Quality Control Plan
  - Constructability and Bidability Review
  - Construction Quality Control Requirements

Program Management Requirements (cont.)

- Public Outreach Program
  - ➢ Outreach Plan
  - ➢ Public Involvement at Appropriate Stages

- Consultant Procurement Process
  - ➢ Virginia Public Procurement Act/Brooks Act
  - ➢ Ensure Fairness and Transparency

- Project Controls for Cost and Schedule
  - ➢ Baseline Schedule Preparation
  - ➢ Engineering, Construction, Administration and Project Management Cost Estimating and Budget Preparation
  - ➢ Project Controls Methodology and Systems

Project Delivery Requirements

- Preliminary Engineering (PE) Authorization
  - Council Approval

- NEPA & Permitting
  - Preparation of NEPA document
  - Coordination w/ appropriate Federal Agencies
  - Obtaining Permits
  - Final Environmental Approvals
  - Environmental Re-Evaluations

- Right of Way
  - Preparation of R/W Plans
  - R/W and Utilities Agreement and Authorization
  - Acquire R/W

- Sole Source or Proprietary Procurement
  - Sole Source Justification
  - Finding in Public Interest
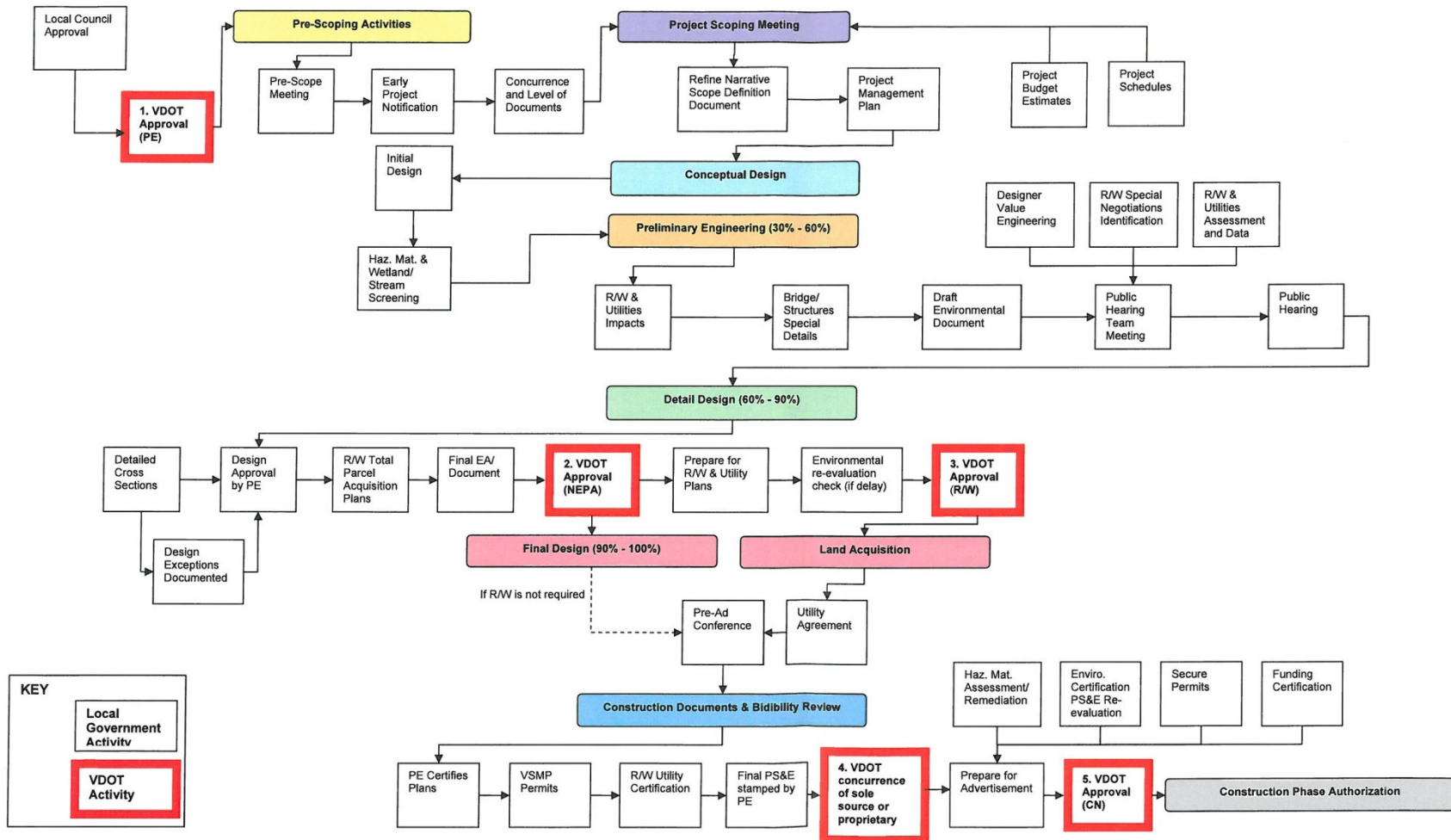
Project Delivery Requirements (cont.)

- Construction Authorization
  - Meet AASHTO Design Standards
  - Value Engineering
  - Design Exceptions
  - Final PS&E Documents

- Award of Construction Contract
  - Project Advertisement
  - Contract Award
  - Administration of Construction Contract

- Project Final Inspection and Acceptance
  - Acceptance Procedures
  - Report of Expenditures

What is UCI Certification? (cont.)

- VDOT provides concurrence at project development points required by State and Federal Code:

  - ➢ PE Authorization
  - ➢ NEPA Document Approval
  - ➢ R/W Authorization
  - ➢ Sole Source or Proprietary (Equipment/Materials)
  - ➢ Construction Authorization
  - ➢ Award of Construction (>$2M only)
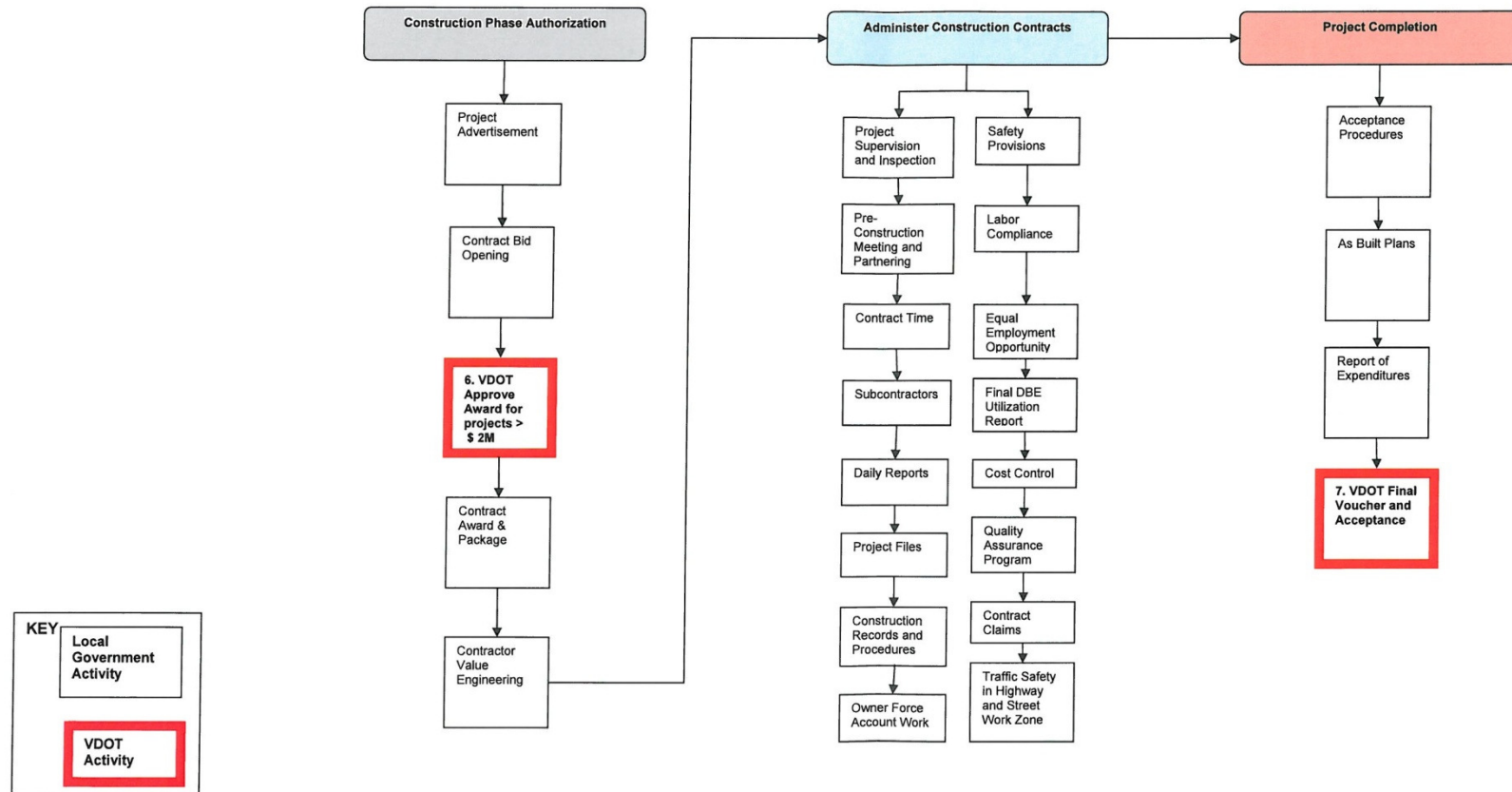 - ➢ Final Acceptance

What is UCI Certification? (cont.)

Exhibit B1: Project Development

What is UCI Certification?

Exhibit B2: Project Construction

What is UCI Certification? (cont.)

- How will VDOT ensure projects are being delivered in accordance with Federal/State laws?

Compliance Program

VDOT will perform the following Reviews:

✓ Project Level (Annual)

✓ Program Level Re-certification (Every 2-5 years)

✓ Process Reviews (Periodic)

Staffing

- ## Qualified Staff
  - ➢ Must employ Qualified Staff
  - ➢ OK to use Consultants

- ## Roles
  - ➢ Clear Lines of Authority
  - ➢ Does not require all roles to be one Department
  - ➢ Internal Support
  - ➢ Alignment Between Processes and Organization Chart

Conclusion

- Benefits:
  - ➢ Expedite Implementation of Federal/State Funded Projects
  - ➢ Decrease Cost of Project Delivery
  - ➢ Improve Project Efficiencies

- **RECOMMEND MOVING TOWARDS OBTAINING UCI CERTIFICATION**

Schedule

- Pre-Brief Dave H.   September 2010
- MLT Briefing   October 2010
- Brief Partnering Dept Directors   October 2010
- Submit Letter of Intent to VDOT   November 2010
- VDOT Response   December 2010
- Submit Application   March 2011
- VDOT Response   May 2011
- Interview   June 2011
- **RECEIVE CERTIFICATION**   **July 2011**